

10/31/2001 08:27

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HENRY MILLSON

PAGE 07/07

11:40

FROM-HENKEL/COGNIS CORP, PATENT DEPT,

6102786548

T-806 P.02/03 F-328

12-10-01

PTO/SB/05 (11-00)

Approved for use through 10/31/2002. OMB 0651-0032

Please type a plus sign (+) inside this box. ☐

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**UTILITY  
PATENT APPLICATION  
TRANSMITTAL**

(Only for new, nonprovisional applications under 37 C.F.R. § 1.53(b))

Attorney Docket No. M 6401A-OS/PS

First Inventor NATALE, Marcie

Title STABILIZATION OF AQUEOUS EMULSION  
POLYMERS

Express Mail Label No. EL544893224US

**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents.

**ADDRESS TO:**Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for the processing)
2. ☐ Applicant claims small entity status.  
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 28]  
(if referred arrangement set forth below)  
• Descriptive title of the invention  
• Cross Reference to Related Applications  
• Statement Regarding Fed sponsored R & D  
• Reference to sequence listing, a table,  
or a computer program listing appendix  
• Background of the invention  
• Brief Summary of the invention  
• Brief Description of the Drawings (if filed)  
• Detailed Description  
• Claim(s)  
• Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 2]
5. Oath or Declaration [Total Pages 3]  
a. ☒ Newly unexecuted (original or copy)  
b. ☐ Copy from a prior application (37 CFR 1.83 (d))  
(for continuation/divisional with Box 18 completed)  
i. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s)  
named in the prior application, see 37 CFR  
1.83(d)(2) and 1.83(b)
6. ☐ Application Data Sheet. See 37 CFR 1.76

7. ☐ CD-ROM or CD-R in duplicate, large table or  
Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)  
a. ☐ Computer Readable Form (CRF)  
b. Specification Sequence Listing on:  
i. ☐ CD-ROM or CD-R (2 copies); or  
ii. ☐ paper  
c. ☐ Statements verifying identity of above copies.

**ACCOMPANYING APPLICATION PARTS**

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73 (b) Statement [X] Power of  
(when there is an assignee) Attorney
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure  
Statement (IDS)/PTO-1449 ☐ Copies of  
IDS Citations
13. ☒ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)  
(of foreign priority is claimed)
16. ☐ Request and Certification under 35 U.S.C. 122  
(b)(2)(B)(i). Applicant must attach form PTO/SB/35  
or its equivalent
17. ☒ Other: **REQUEST TO CHANGE CORRESPONDENCE  
ADDRESS**

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment,  
or in an Application Data Sheet under 37 CFR 1.76:☐ Continuation☒ Divisional☐ Continuation-in-part (CIP)

of prior application No.: 09/363,555

**Prior application information:**

Examiner K. Egwin

Group Art Unit: 1713

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under  
Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference.  
The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.**19. CORRESPONDENCE ADDRESS**

Customer Number or Bar Code Label

23657

or



Correspondence address below

Name

John E. Drach

Address

City

State

Zip Code

Country

Telephone

(610) 278-4925

Fax

(610) 278-8548

Name (Print/Type)

Henry E. Millson, Jr.

Registration No. (Attorney/Agent)

18,980

Signature

Henry E. Millson, Jr.

Date

11/07/01

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the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC  
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Washington, DC 20231.

PTO/SB/17 (08-00)  
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# FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$ 740

## Complete if Known

Application Number	
Filing Date	
First Named Inventor	NATALE, Marcie
Examiner Name	
Group/Art Unit	
Attorney Docket No.	M 6401A-OS/PS

## METHOD OF PAYMENT (check one)

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit Account Number: 50-1177 Order No. 01-0709

Deposit Account Name: Cognis Corporation

☒ Charge Any Additional Fee Required Under 37 CFR §§ 1.16 and 1.17

☐ Applicant claims small entity status. See 37 CFR 1.27

2. ☐ Payment Enclosed:  
☐ Check ☐ Credit Card ☐ Money Order ☐ Other

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Fee Code	Small Fee Code	Entity Fee Code	Fee Description	Fee Paid
101	740	201	Utility filing fee	\$740.00
106	330	206	Design filing fee	
107	510	207	Plant filing fee	
108	740	208	Reissue filing fee	
114	160	214	Provisional filing fee	

SUBTOTAL (1) (\$ 740.00

### 2. EXTRA CLAIM FEES

	Extra Claims	Fee from below	Fee Paid
Total Claims	18	-20**= 0	X \$18.00 = .00
Independent Claims	2	-3**= 0	X \$84.00 = .00
Multiple Dependent			\$280.00 = .00

\*\*or number previously paid, if greater; For Reissues, see below

Large Fee Code	Small Fee Code	Entity Fee Code	Fee Description
103	18	203	9 Claims in excess of 20
102	84	202	42 Independent claims in excess of 3
104	280	204	140 Multiple dependent claim, if not paid
109	84	209	42 **Reissue independent claims over original patent
110	18	210	9 **Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$ .00

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Large Fee Code	Small Fee Code	Entity Fee Code	Fee Description	Fee Paid
105	130	205	65 Surcharge - late filing fee or oath	
127	50	227	25 Surcharge - late provisional filing fee or cover sheet	
139	130	139	130 Non-English specification	
147	2,520	147	2,520 For filing a request for ex parte reexamination	
112	920*	112	920* Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840* Requesting publication of SIR after Examiner action	
115	110	215	55 Extension for reply within first month	
116	390	216	195 Extension for reply within second month	
117	890	217	445 Extension for reply within third month	
118	1,390	218	695 Extension for reply within fourth month	
128	1,890	228	945 Extension for reply within fifth month	
119	310	219	155 Notice of Appeal	
120	310	220	155 Filing a brief in support of an appeal	
121	270	221	135 Request for oral hearing	
138	1,510	138	1,510 Petition to institute a public use proceeding	
140	110	240	55 Petition to revive - unavoidable	
141	1,240	241	620 Petition to revive - unintentional	
142	1,240	242	620 Utility issue fee (or reissue)	
143	440	243	220 Design issue fee	
144	600	244	300 Plant issue fee	
122	130	122	130 Petitions to the Commissioner	
123	50	123	50 Petitions related to provisional applications	
126	240	126	240 Submission of Information Disclosure Stmt	
561	40	561	40 Recording each patent assignment per property (times number of properties)	
146	710	246	355 Filing a submission after final rejection (37 CFR § 1.129(a))	
149	710	249	355 For each additional invention to be examined (37 CFR § 1.129(b))	
179	710	279	355 Request for Continued Examination (RCE)	
169	900	169	900 Request for expedited examination of a design application	

Other fee (specify)

Other fee (specify)

\* Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ .00

## SUBMITTED BY

Name (Print/Type)	Henry E. Millson, Jr.	Registration No. (Attorney/Agent)	18,980	Telephone	(928) 445-2453
Signature	Henry E. Millson Jr.	Date	11/07/01		

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EL544993322US  
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PATENT  
Docket No. M 6401A-OS/PS

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re: Application of Natale, et al., a Divisional under  
37 C.F.R. § 1.53(b) of:

Serial No. 09/363,555                      Examiner: K. Egwim  
Filed: 07/29/99                      Art Unit: 1713  
TITLE: STABILIZATION OF AQUEOUS EMULSION POLYMERS

**REQUEST TO CHANGE CORRESPONDENCE ADDRESS**

Commissioner for Patents  
Washington, DC 20231

Sir:

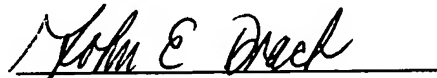
Please change the correspondence address for the above captioned and numbered  
application to:

**CUSTOMER LABEL NO. 23657**

**Cognis Corporation, Patent Dept.  
2500 Renaissance Boulevard, Suite 200  
Gulph Mills, PA 19406.**

Please change the telephone contact number for the above captioned and numbered  
application to: (610) 278-4925.

Respectfully submitted,



John E. Drach  
(Reg. No. 32,891)  
Attorney for Applicant(s)  
(610) 278-4925

Cognis Corporation, Patent Dept.  
2500 Renaissance Boulevard, Suite 200  
Gulph Mills, PA 19406

JED/ras